

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonapplications under 37C.F.R. §1.53(b))

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

Attorney Docket No.

PC11094B

First Inventor

Jinyang Hong

Title

NMDA RECEPTOR AGONIST  
PHARMACEUTICAL COMPOSITIONS

Express Mail Label No.

EJ621339952US

ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
Box 1450  
Alexandria, VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status  
See 37 CFR 1.27
3. ☒ Specification [Total Pages **19**]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total sheets ]
5. ☒ Oath or Declaration [Total pages **3**]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR §1.63(d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Copy (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies)
- ii. ☐ Paper
- c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Priority claim 60/255,372

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37CFR 1.76.

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 10/010,827

Prior application information: Examiner Carlos A. Azpuru Group/Art Unit: 1615

For CONTINUATION OR DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number 23913 or ☐ Correspondence address below

|                   |                   |                                   |                 |
|-------------------|-------------------|-----------------------------------|-----------------|
| Name              |                   |                                   |                 |
| Address           |                   |                                   |                 |
| City              | State             | Zip Code                          |                 |
| Country           | Telephone         | Fax                               |                 |
| NAME (Print/type) | E. Victor Donahue | Registration No. (Attorney/Agent) | 35,492          |
| Signature         |                   | Date                              | August 19, 2003 |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimate\* to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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10/643441  
08/19/03



# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small status. See 37 CFR 1.27

Total Amount of Payment (\$1002.00)

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money ☐ Other ☐ None  
Order

☒ Deposit Account:

Deposit  
Account  
Number

16-1445

Deposit  
Account  
Name

Pfizer Inc

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description    | Fee Paid |
|--------------|----------|--------------|----------|--------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                    |          |
| 1001         | 750      | 2001         | 375      | Utility filing fee | 750      |
| 1002         | 330      | 2002         | 165      | Design filing fee  |          |
| 1003         | 520      | 2003         | 260      | Plant filing fee   |          |
| 1004         | 750      | 2004         | 375      | Reissue filing fee |          |
| 1005         | 160      | 2005         | 80       | filing fee         |          |

Subtotal (1) \$ 750

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid       |
|--------------------|--------------|----------------|----------------|
| 18                 | - 20 = 0     | 18.00          | 00.00          |
| Independent Claims | 6            | - 3 = 3        | 84.00 = 252.00 |
| Multiple Dependent |              |                |                |

| Large Entity |          | Small Entity |          | Fee Description                                   |
|--------------|----------|--------------|----------|---|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |   |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                            |
| 1201         | 84       | 2201         | 42       | Independent claims in excess of 3                 |
| 1203         | 280      | 2203         | 140      | Multiple dependent claim, if not paid             |
| 1204         | 84       | 2204         | 42       | **Reissue independent claims over original patent |
| 1205         | 18       | 2205         | 9        | **Reissue independent claims over original patent |

SUBTOTAL (2) (\$ 252.00)

## Complete if Known

|                      |                                |
|----------------------|--------------------------------|
| Application Number   | Not Yet Assigned               |
| Filing Date          | Herewith                       |
| First Named Inventor | Jinyang Hong, et al.           |
| Examiner Name        | Carlos A. Azpuru (anticipated) |
| Art Unit             | 1615 (anticipated)             |
| Attorney Docket No.  | PC11094B                       |

## FEE CALCULATION (continued)

| Large Entity |          | Small Entity |          | Fee Description  | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 1051         | 130      | 2051         | 65       | Surcharge - late fee or oath   |          |
| 1052         | 50       | 2052         | 25       | Surcharge-late filing fee or cover sheet                                   |          |
| 1053         | 130      | 1053         | 130      | Non-English specification  |          |
| 1812         | 2,520    | 1812         | 2,520    | For filing a request for reexamination                                     |          |
| 1804         | 920*     | 1804         | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805         | 1,840*   | 1805         | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251         | 110      | 2251         | 55       | Extension for reply within first month                                     |          |
| 1252         | 410      | 2252         | 205      | Extension for reply within second month                                    |          |
| 1253         | 930      | 2253         | 465      | Extension for reply within third month                                     |          |
| 1254         | 1,450    | 2254         | 725      | Extension for reply within fourth month                                    |          |
| 1255         | 1,970    | 2255         | 985      | Extension for reply within fifth month                                     |          |
| 1401         | 320      | 2401         | 160      | Notice of Appeal   |          |
| 1402         | 320      | 2402         | 160      | Filing a brief in support of an appeal                                     |          |
| 1403         | 280      | 2403         | 140      | Request for oral hearing   |          |
| 1451         | 1,510    | 1451         | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452         | 110      | 2452         | 55       | Petition to revive unavoidable   |          |
| 1453         | 1,300    | 2453         | 650      | Petition to revive - unintentional   |          |
| 1501         | 1,300    | 2501         | 650      | Utility issue fee (or reissue)   |          |
| 1502         | 470      | 2502         | 235      | Design issue fee   |          |
| 1503         | 630      | 2503         | 315      | Plant issue fee  |          |
| 1460         | 130      | 1460         | 130      | Petitions to the Commissioner  |          |
| 1807         | 50       | 1807         | 50       | Petitions to the Commissioner  |          |
| 1806         | 180      | 1806         | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021         | 40       | 8021         | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809         | 750      | 2809         | 375      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810         | 750      | 2810         | 375      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801         | 750      | 2810         | 375      | Request for Continued Examination (RCE)                                    |          |
| 1802         | 900      | 1802         | 900      | Request for expedited examination of a design application                  |          |
| 1802         | 900      | 1802         | 900      | Request for expedited examination of a design application                  |          |

Other Fee (specify)

\*Reduced by Basic Filing Fee Paid

Subtotal (3) (\$ 0.00)

## SUBMITTED BY

|                     |                  |                  |        |           |                 |
|---------------------|------------------|------------------|--------|-----------|-----------------|
| Name (Printed/Type) | E. Victor Dorahe | Registration No. | 35,492 | Telephone | (212) 733-2739  |
| Signature           |                  | (Attorney Agent) |        | Date      | August 19, 2003 |

Warning: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 137 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Certificate of Express Mailing under 37 CFR 1.10

The undersigned hereby certifies that the listed documents attached hereto were deposited on **August 19, 2003** with the United States Postal Service as Express Mail, Post Office to Addressee, postage prepaid, in an envelope bearing Express Mail Label EJ 621339952 US addressed to the Commissioner for Patents, Box New Application, Washington, DC 20231.

Utility Application Transmittal (in duplicate);

Fee Calculation Sheet (in duplicate)

Preliminary Amendment;

Patent Application consisting of 15 pages of Specification; 3 pages of Claims, and 1 page of Abstract;

copy of executed inventor declaration from parent application 10/010,827;

Information Disclosure Statement, and Form 1449 (1 sheet, references not provided);

Application Data Sheet (2 pages), and

Return Receipt Postcard

Date: August 19, 2003



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